



PTO/SB/21 (08-03)
Approved for use through 08/30/2003. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

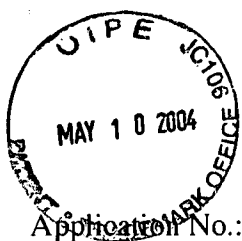
TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	10/618,566
	Filing Date	07/10/2003
	First Named Inventor	David G. Luenberger
	Art Unit	3629
	Examiner Name	Not assigned
Total Number of Pages in This Submission	Attorney Docket Number	LUB-101

ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance communication to Technology Center (TC)
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Change of Correspondence Address	<input type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
Firm or Individual name	Katharina Wang Schuster, Reg. No. 50,000	
Signature	<i>Katharina Schuster</i>	
Date	May 6, 2004	

CERTIFICATE OF TRANSMISSION/MAILING			
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
Typed or printed name	AGA Kleszcz		
Signature	<i>AK</i>	Date	5/6/04

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



In the United States Patent and Trademark Office

Application No.: 10/618,566
Filed: 07/10/2003
Title: Method for assigning a price to an asset that is a derivative of a non-marketed variable
Applicant(s): David G. Luenberger
Examiner: Not assigned
Art Unit: 3629

Mailed May 6, 2004
Palo Alto, CA

Information Disclosure Statement

Commissioner of Patents
P. O. Box 1450, Alexandria, VA 22313-1450

Dear Sir or Madam:

Attached is a completed Form PTO-1449 and copies of the pertinent parts of the references cited thereon. It is requested that the document(s) on the enclosed form be made of record.

Part I (Authority)

This statement is filed pursuant to:

(X) 37 C.F.R. § 1.97(b).

This information disclosure statement is filed either (1) within three months of the filing date of the national applications; (2) within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application; or (3) before the mailing date of a first office action on the merits, whichever event occurs last.

Accordingly, this information disclosure statement requires no fee and no certification.

() 37 C.F.R. § 1.97(c).

This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97(b), but before the mailing date of either (1) a final action under 37 C.F.R. § 1.113 or (2) a notice of allowance under 37 C.F.R. § 1.311.

Accordingly, this information disclosure statement requires either the fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c) (\$180), or a statement according to 37 C.F.R. § 1.97(e).

() 37 C.F.R. § 1.97(d).

This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97(c).

Accordingly, this information disclosure statement requires either the fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c) (\$180), and a statement according to 37 C.F.R. § 1.97(e).

Conditional Petition

It is respectfully requested that this information disclosure statement be considered, good cause being presented in Part III herein (certification). please treat this paper as the required petition.

If this statement crosses in the mail with an office action, or is otherwise not in the indicated category of 37 C.F.R. § 1.97, it is respectfully requested that this statement be treated in the next appropriate category and made of record.

To the extent required, please treat this paper as a conditional petition for acceptance of the

Part II (Payment)

A check is enclosed as indicated:

- ☒ (X) No fee is due.
- ☐ () The fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c) is enclosed \$180.
- ☐ () The petition fee specified in 37 C.F.R. § 1.17(p) to consider an information disclosure statement under 37 C.F.R. § 1.97(d) is enclosed (\$180).

Part III (Statement)

Pursuant to 37 C.F.R. § 1.97(e), I certify:

- ☒ (X) No statement is necessary.
- ☒ (X) (1) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement.
 - ☐ () The "communication from a foreign patent office" referred to in the certification is an International Search Report, possibly issued by the U.S. Patent and Trademark Office in its capacity as an International Search Authority or International Preliminary Examining Authority.
 - ☐ () The "counterpart foreign application" referred to in the certification corresponds to an ancestor or descendent application of the application for which this information disclosure statement is filed.
- ☐ () (2) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c), more than three months prior to the filing of the statement.

Part IV (Additional Statement)

An additional statement regarding these items of information () is, (X) is not, enclosed.

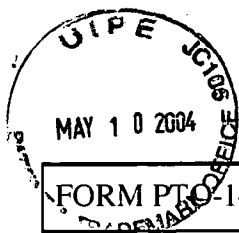
Copies of the cited reference (X) are enclosed, () are of record in parent application Serial No. _____ and will be provided if the Examiner deems it convenient.

Respectfully submitted,

Dated: *May 6, 2004*



Katharina Wang Schuster
Reg. No. 50,000
2345 Yale Street, 2nd Floor
Palo Alto, CA 94036
tel: 650-424-0100
fax: 650-424-0141



FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE				ATTY. DOCKET NO. LUB-101		SERIAL NO. 10/618,566					
LIST OF PRIOR ART CITED BY APPLICANT (Use several sheets if necessary)				APPLICANT David G. Luenberger							
				FILING DATE 07/10/2003		GROUP 3629					
U.S. PATENT DOCUMENTS											
EXAMINER INITIAL		DOCUMENT NUMBER			DATE	NAME	RELEVANT INFORMATION				
	A	6	0	6	1	6	6	2	5/9/2000	Makivic	705/36
	B	US2002/0178101			11/28/2002	Swift	705/36				
	C	US2002/0188546			12/12/2002	Tang	705/37				
	D	US2002/0133456			9/19/2002	Lancaster et al.	705/37				
	E	US2002/0128955			9/12/2002	Brady et al.	705/37				
	F	US2002/0169703			11/14/2002	Lutnick et al.	705/37				
	G	US2002/0065755			5/30/2002	Shlafman et al.	705/36				
	H	US2002/0002530			1/3/2002	May	705/37				
FOREIGN PATENT DOCUMENTS											
		2- letter code	DOCUMENT NUMBER			DATE	COUNTRY	TRANSLATION			
								YES	NO		
	I										
	J										
OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)											
	K										
	L										
	M										
	N										
EXAMINER						DATE CONSIDERED					
/Eric Wong/						07/15/2008					
* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.											

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /E.W./